

STATE RESTRICTION OF APPOINTMENTS (SROA)/SURPLUS UPDATES

(Additions and changes are indicated by vertical lines in the right margin.)

Revised: 10/01/04

- With the ending of the hiring freeze, departments are reminded that the Surplus/SROA Program processes and procedures still must be followed.

Hiring departments should:

1. Contact SROA eligibles for the class or for an appropriate class, if there are no reemployment lists or mandatory reinstatements, for the class in which the position is to be filled.
 2. Verify that employees who claim to be surplus are in classes/departments listed as surplus at the following DPA web site:

<http://www.dpa.ca.gov/jobinfo/layoffs/sroa.shtm>
 3. If there is no reemployment list, the SROA list has been cleared, and no surplus employees express interest, only then the position may be filled by a non-SROA, non-surplus employee without contacting DPA for approval.
- Placement on SROA lists is limited by the Department of Personnel Administration (DPA) Rule 599.854.1 to those employees who may actually be subject to layoff or demotion in-lieu-of layoff. In general, for each class designated as surplus, three employees per at-risk position will be placed on SROA and surplus status. Exceptions may be made if it appears the anticipated layoff will be very severe or some other unusual circumstance warrants it.
 - The layoff department personnel office should provide each surplus employee with a Surplus/SROA Certification letter that certifies the employee has surplus and SROA status. You can find this form (fill-in letter) on DPA's Personnel Information Exchange (PIE) system under the Downloads option. The layoff department's letterhead should be used for this Surplus/SROA Certification letter.
 - State departments must consider surplus/SROA employees prior to making any appointments, unless specifically excluded per Section VI of the SROA Manual.
 - Any surplus or SROA candidate that applies for an appointment to a class other than the class they are currently in (including any department-specific class) must be considered for the vacant position. The surplus/SROA candidates must meet transfer eligibility.
 - Department of Personnel Administration (DPA) has rescinded delegation to departments to determine whether or not employees possess the requisite knowledge, skills, and abilities for appointment to any class. If the department feels surplus/SROA employee does not possess the requisite knowledge, skills,

and abilities necessary for appointment to any class, then the department must submit an exemption request to DPA.

- All exemptions from hiring Surplus or SROA employees must be approved by DPA by submitting an exemption request to DPA (unless the exemption is specifically excluded per Section VI of the SROA Manual).
- Clarification to V.E.2 of the SROA Manual: Hiring departments must contact SROA eligible employees (by requesting a certification list) for the class in which the position is to be filled, unless the appointment is specifically excluded per Section VI of the SROA Manual.
- Surplus/SROA status ends when the employer notifies the employee that he or she is no longer surplus and the department requests DPA to remove their surplus status. If a surplus employee receives a job offer with a specific start date and accepts it prior to receiving notice that he or she is no longer Surplus, the employee is still considered surplus.
- Departments are reminded that true vacancy promotions are still subject to surplus/SROA rules and policies. Refer to the SROA Manual Section VI, VI.L.
- SROA Scantron forms are the forms to be sent to the State Personnel Board (SPB) to place surplus employees on SROA certification lists. These forms are completed by the department personnel office on behalf of the surplus employee. The Scantron forms must be complete and accurate.
- An employee is normally placed on the SROA list for the class that he/she is currently serving in. For a department-specific class, the employee may instead be placed on the SROA list for an appropriate class in which actual employment opportunities exist, if such a class exists. An employee shall be placed on only one appropriate class list. If it is determined that there is no appropriate class for a department-specific class, then a SPB scantron form for the employee's current class should not be submitted to SPB. Department Personnel Office staff should work with their designated DPA analyst to determine an appropriate class, if any.
- The layoff department personnel office should contact DPA to remove their surplus classes from the Surplus Listing after the impacted employees have been notified that they are no longer surplus.
- The layoff department personnel office should contact the SPB certification unit to have their employees removed from the SROA lists. This shall be done as soon as their employees no longer have SROA status because they have left the department or are no longer surplus.

- **SUPER SROA**

Background

The Memoranda of Understanding between the State and Bargaining Units (BU) 2 and 9 contain the following clause, which is referred to as “Super SROA”:

“Departments filling vacancies shall offer positions to employees facing layoff, demotion in lieu of layoff, or mandatory geographic transfer, who meet the minimum qualifications (MQs) for the vacancy being filled, provided that the vacancy is equivalent in salary and responsibility and in the same geographic area and bargaining unit.”

Who Qualifies for Super SROA?

An employee in BU 2 or 9, who is facing layoff, demotion in-lieu-of layoff, or mandatory geographic transfer, qualifies for the provisions of Super SROA when a position is being filled if he/she meets the following three criteria:

1. Works in any county touching the county in which the BU 2 or 9 vacancy exists.
2. Is in a BU 2 or 9 class whose salary and responsibility levels are within transfer range of the vacancy and is eligible to transfer to the position being filled.
3. Meets the MQs of the position being filled. Only those requirements specifically included in the MQs on the class specification may be considered to exclude an applicant from consideration.

Role of Departments Hiring Employees in BU 2 or 9 Classes

1. Go to Department of Personnel Administration’s (DPA) website for a listing of all departments which have surplus/SROA employees in BU 2 or 9 classes.
2. Order certification lists for BU 2 or 9 classes.
3. Widely advertise employment opportunities including posting them on the State Personnel Board’s Vacancy Data Base System (VPOS) and posting them in their own department.
4. Contact the SROA or Layoff Coordinator for each of the departments that are listed on the BU 2 or 9 Super SROA listing, located on DPA’ web page, by telephone and advise him/her of the class, number, geographic location, and salary of the position to be filled.
5. Follow up the telephone contact by sending each SROA or Layoff Coordinator a job bulletin for each position to be filled.

6. MUST fill each vacant position with an employee who meets the Super SROA criteria, if one applies.
7. If no BU 2 or 9 employee who is qualified for Super SROA applies, follow the provisions of the regular SROA Program.

Role of Departments Laying Off Employees in BU 2 or 9 Classes

1. Complete a SROA Scantron form on behalf of the employee and send the Scantron form to the State Personnel Board (SPB). Send the employee a copy of the Scantron form to sign and update, if necessary.
2. The SROA or Layoff Coordinator should personally and expeditiously contact each surplus BU 2 or 9 employee by e-mail, telephone, or via their supervisors or managers and notify them of the vacancies.
3. Immediately follow this initial contact by faxing copies of the job bulletins to each surplus employee.
4. Direct each "qualified" surplus employee to fax an application to the contact at the hiring department within five calendar days of receipt of the bulletin.

Role of Surplus/SROA Employees in BU 2 or 9 Classes

1. Determine if you meet the eligibility criteria for Super SROA.
2. Review and sign the copied Scantron form and return to the department contact person.
3. Respond to job bulletins forwarded to you from your department's SROA or Layoff Coordinator within five calendar days of their receipt.
4. Seek and apply for BU 2 or 9 positions under the provisions of the regular SROA Program if you do not meet the Super SROA criteria.

Role of DPA

1. Maintain the listing of all departments with surplus BU 2 or 9 employees in one particular section of the DPA Web site, for easy reference by hiring departments.
2. Ensure that a BU 2 or 9 employee who does not meet the Super SROA criteria is afforded the right to be considered for positions under the provisions of the regular SROA Program.
3. Maintain and review hiring data provided by the State Controller's Office to ensure that the provisions of both the Super SROA process and the regular SROA Program are being complied with.